

96/6T/90

**UTILITY PATENT APPLICATION TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR § 1.53(b))

Attorney Docket No.	1606.002001
First Inventor or Application Identifier	Peter G. BROWN
Title	System and Method for Simulation, Modeling and Scheduling of Solution Preparation in Biopharmaceutical Batch Process Manufacturing Facilities
Express Mail Label No.	

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:  
Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1.  \* Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2.  Specification [Total Pages 99]  
(preferred arrangement set forth below)  
 - Descriptive title of the Invention  
 - Cross References to Related Applications  
 - Background of the Invention  
 - Brief Summary of the Invention  
 - Brief Description of the Drawings (if filed)  
 - Detailed Description  
 - Claims  
 - Abstract of the Disclosure
3.  Drawings (35 U.S.C. 113) [Total Sheets 105]
4.  Oath or Declaration [Total Pages 2]  
 a.  Newly executed (original)  
 b.  Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 17 completed)  
 [Note Box 5 below]  
 i.  **DELETION OF INVENTOR(S)**  
 Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR §§ 1.63(d)(2) and 1.33(b).
5.  Incorporation By Reference (useable if Box 4b is checked)  
 The entire disclosure of the prior application, from which a copy or reference is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6.  Microfiche Computer Program (Appendix)
7. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)  
 a.  Computer Readable Copy  
 b.  Paper Copy (identical to computer copy)  
 c.  Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

8.  Assignment Papers (cover sheet & document(s))
9.  37 CFR 3.73(b) Statement  Power of Attorney (when there is an assignee)
10.  English Translation Document (if applicable)
11.  Information Disclosure  Copies of IDS Citations Statement (IDS)/PTO-1449
12.  Preliminary Amendment
13.  Return Receipt Postcards (MPEP 503)  
(Should be specifically itemized)
14.  \*Small Entity Statement(s)  Statement filed in prior application, Status still proper and desired
15.  Certified Copy of Priority Document(s) (if foreign priority is claimed)
16.  Other: 37 C.F.R. § 1.136(a)(3) Authorization  
 Other:

\*NOTE FOR ITEMS 1 & 14: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

Continuation     Divisional     Continuation-in-Part (CIP) of prior application No: \_\_\_\_\_ / \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_ Group/Art Unit: \_\_\_\_\_

**18. CORRESPONDENCE ADDRESS**

Customer Number  
or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or  Correspondence address below

NAME	STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C. Attorneys at Law				
ADDRESS	Suite 600, 1100 New York Avenue, N.W.				
CITY	Washington	STATE	DC	ZIP CODE	20005-3934
COUNTRY	USA	TELEPHONE	(202) 371-2600	FAX	(202) 371-2540

NAME (Print/Type)	Robert Sokohl	Registration No. (Attorney/Agent)	36,013
SIGNATURE			
Date	6/19/98		

Burden Hour Statement: this form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**FEE TRANSMITTAL**

Patent fees are subject to annual revision on October 1.  
These are the fees effective October 1, 1997.

Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.  
See 37 C.F.R. §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT

(\$ 395.00)

**Complete if Known**

Application Number	To be assigned
Filing Date	June 19, 1998
First Named Inventor	Peter G. BROWN
Examiner Name	To be assigned
Group / Art Unit	To be assigned
Attorney Docket Number	1606.0020001/RES/RVM

**METHOD OF PAYMENT (check one)**

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayment to:

Deposit Account Number	19-0036
Deposit Account Name	Steine, Kessler, Goldstein & Fox P.L.L.C.

- Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17     Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance

2.  Payment Enclosed:     Check No. \_\_\_\_\_

Money Order     Other\*  
\*Charge any deficiencies or credit any overpayments in the fees or fee calculations of Parts 1, 2 and 3 below to Deposit Account No. 19-0036.

**FEE CALCULATION****1. BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	790	201	395	Utility filing fee	395.00
106	330	206	165	Design filing fee	
107	540	207	270	Plant filing fee	
108	790	208	395	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$ 395.00)

**2. EXTRA CLAIM FEES**

Extra	Fee from below	Fee Paid
Total Claims 3 - 20** = 0	X 0	= 0
Indep. Claims 1 - 3** = 0	X 0	= 0

Multiple Dependent Claims \_\_\_\_\_ = 0

\*\* or number previously paid, if greater. For Reissues, see below

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	22	203	11	Claims in excess of 20
102	82	202	41	Independent claims in excess of 3
104	270	204	135	Multiple dependant claim
108	82	209	41	**Reissue independent claims over original patent
110	22	210	11	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 0)

**3. ADDITIONAL FEES**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	950	217	475	Extension for reply within third month	
118	1,510	218	755	Extension for reply within fourth month	
128	2,060	228	1,030	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,320	241	660	Petition to revive - unintentional	
142	1,320	242	660	Utility issue fee (or reissue)	
143	450	243	225	Design issue fee	
144	670	244	335	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	790	246	395	Filing a submission after final rejection (37 CFR 1.129(a))	
149	790	249	395	For each additional invention to be examined (37 CFR 1.129(b))	

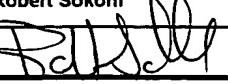
Other fee (specify):

Other fee (specify):

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 0)

**SUBMITTED BY****Complete (if applicable)**

Type or Printed Name	Robert Sokohl	Reg. Number	36,013
Signature		Date	6/19/98

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**STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.**

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\*\*REGISTERED PATENT AGENTS

WRITER'S DIRECT NUMBER:

June 19, 1998

INTERNET ADDRESS:

Assistant Commissioner for Patents  
Washington, D.C. 20231

**Box Patent Application**

Re: U.S. Non-Provisional Utility Patent Application under 37 C.F.R. § 1.53(b)  
Appl. No. To be assigned; Filed: June 19, 1998  
(From Provisional Appl No. 60/050,294; Filed: June 20, 1997)  
For: **System and Method for Simulation, Modeling and Scheduling of  
Solution Preparation in Biopharmaceutical Batch Process  
Manufacturing Facilities**  
Inventor: Peter G. BROWN  
Our Ref: 1606.0020001

Sir:

The following documents are forwarded herewith for appropriate action by the U.S.  
Patent and Trademark Office:

1. PTO Utility Patent Application Transmittal Form (PTO/SB/05);
2. U.S. Utility Patent Application entitled:

**System and Method for Simulation, Modeling and Scheduling of Solution  
Preparation in Biopharmaceutical Batch Process Manufacturing Facilities**

and naming as inventor:

**Peter G. Brown**

Assistant Commissioner for Patents  
June 19, 1998  
Page 2

the application comprising:

a. A specification containing:

- (i) 90 pages of description prior to the claims;
- (ii) 1 page of claims (3 claims);
- (iii) a one (1) page abstract;
- (iv) 7 pages of Appendices A1-A7;

b. One-Hundred and Five (105) sheets of drawings: (Figures 1-11, 12A-H, 13-35, 36A-H, 37A-B, 38-41, 42A-D, 43-44, 45A-I, 46-63, 64A-Z, 64AA-64AB);

c. An original executed combined Declaration and Power of Attorney for Patent Application;

3. PTO Fee Transmittal Form PTO/SB/17 (in duplicate);
4. Authorization to Treat a Reply As Incorporating An Extension of Time Under 37 C.F.R. § 1.136(a)(3) (in duplicate);
5. Our check No. 22125 for \$395.00 to cover:  
  
\$395.00 Filing fee for patent application; and
6. Two (2) return postcards.

It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible.

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Assistant Commissioner for Patents  
June 19, 1998  
Page 3

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036. A duplicate copy of this letter is enclosed.

*This patent application claims priority, under 35 U.S.C. § 119(e), to U.S. Provisional Application No. 60/050,294, filed June 20, 1997.*

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

  
Robert Sokohl  
Attorney for Applicant  
Registration No. 36,013

0020001.pto

JCS42 U.S. PTO  
09/100088  
06/19/98

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Peter G. BROWN

Appl. No. To be assigned

(From Prov. Appl. No. 60/050,294;  
Filed: June 20, 1997)

Filed: June 19, 1998

For: **System and Method for  
Simulation, Modeling and  
Scheduling of Solution  
Preparation in Biopharmaceutical  
Batch Process Manufacturing  
Facilities**

Art Unit: To be assigned

Examiner: To be assigned

Atty. Docket: 1606.0020001

**Authorization To Treat A Reply As Incorporating An Extension Of Time  
Under 37 C.F.R. § 1.136(a)(3)**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The U.S. Patent and Trademark Office is hereby authorized to treat any concurrent or future reply that requires a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. The U.S. Patent and Trademark Office is hereby authorized to charge all required extension of time fees to our Deposit Account No. 19-0036, if such fees are not otherwise provided for in such reply. A duplicate copy of this petition is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Robert Sokohl  
Attorney for Applicant  
Registration No. 36,013

Date: 6/19/98  
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